DOCUMENT RESUME

ED 040 658 HE 001 536

TITLE	Special Services for Disadvantaged Students in Institutions of Higher Education Program. Application Information and Program Manual.
INSTITUTION	Office of Education (DHEW), Washington, D. C. Bureau of Higher Education.
PUB DATE	Apr 70
NOTE	39p.
EDRS PRICE	EDRS Price MF-$0.25 HC-$2.05
DESCRIPTORS	Counseling, *Disadvantaged Youth, Educationally Disadvantaged, *Federal Programs, *Guidelines, *Handicapped Students, *Higher Education, Special Programs, Tutorial Programs

ABSTRACT

This manual describes the special services program for disadvantaged students in higher education, ways in which individual projects can be implemented, and the procedures for making application to participate. The program, which was authorized under the Higher Education Amendments of 1968, is designed to increase the number of disadvantaged and physically handicapped students in institutions of higher education. Under this program the institutional grantee may offer "remedial and other services for students with academic potential (a) who are enrolled or accepted for enrollment at the institution, and (b) who by reason of deprived educational, cultural, or economic background or physical handicap, are in need of those services to assist them to initiate, continue, or resume their post-secondary education." Services that may be provided include: counseling, tutorial, special summer programs, career guidance, placement or other student personnel services, and identification, encouragement, or counseling of students with a view to their undertaking a program of graduate or professional education. (AF)

ED040658

OE/BHE

BUDGET BUREAU NO. 51-R0830
Approval Expires: 6/30/71

Application Information and Program Manual

HE

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
OFFICE OF EDUCATION
THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL OFFICE OF EDUCATION POSITION OR POLICY.

Special Services for Disadvantaged Students in Institutions of Higher Education Program

HE 001 536

U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Office of Education

Bureau of Higher Education
Division of Student Special Services

OE Form 1215, 3/70

ED040658

APPLICATION INFORMATION AND PROGRAM MANUAL

SPECIAL SERVICES FOR DISADVANTAGED STUDENTS IN INSTITUTIONS OF HIGHER EDUCATION PROGRAM

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Office of Education
Bureau of Higher Education
Division of Student Special Services

First printed April 1970
Reprinted May 1970

Bureau of the Budget # 51-R-0830
Expires 6 • 30 • 71

Title VI of the Civil Rights Act of 1954 states that, "No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance," Therefore, the Special Services for Disadvantaged Students in institutions of Higher Education Program, like every program or activity receiving financial assistance from the Department of Health, Education, and Welfare, must be operated in compliance with this law.

ED040028

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

March 1970

BUREAU OF HIGHER EDUCATION

Dear Proposer:

Special Services is designed to increase the numbers of disadvantaged and physically handicapped students in institutions of higher education. It has been created by the Congress to provide the means for access to, as well as success in, higher education for young people who, except in small numbers, were once excluded from such opportunities. The fiscal year 1970 appropriation is ten million dollars.

The booklet of which this letter is a part describes the program, many ways in which individual projects can be implemented, and the procedures for making application to participate. I hope that it will aid your institution in its efforts to meet the needs of physically handicapped and low-income students on your campus.

Most of all, I hope that it will encourage you to participate in this most exciting Federal program. It is student centered, action oriented, and presents a demanding challenge to institutions and to the Office of Education to respond to a long neglected educational reform. Your interest and response is much appreciated.

Sincerely yours,

David D. Johnson
Chief
Talent Search/Special Services Branch
Division of Student Special Services

FOREWORD

I am convinced that the American people will come to regard the establishment of programs for young people from low-income backgrounds as the most important development in the history of American education. No single issue has challenged the imagination of scholars and laymen alike as the search for bold and innovative ways of motivating and teaching a segment of the population who, by the accident of circumstance, has not been able to fully participate in the American dream. Admission policies at institutions have been reexamined; teaching methodology has been scrutinized; workshops, colloquia and institutes have been conducted; and scores of textbooks have been written on the problem. Each of these attempts represents a genuine effort and concern for the huge dividends to be gained when thousands of young people from low-income families see themselves as positively contributing to this society.

The Special Services for Disadvantaged Students in Institutions of Higher Education Program, authorized under the Higher Education Amendments of 1968 as a functional branch of the Division of Student Special Services, sees itself as an extension of this philosophy. It is hoped that this program will make it possible for increasingly large numbers of these young people to meet the rigorous demands of campus life. By providing the kind of counseling, supportive and tutorial services they need, we can, I am sure, cooperatively maximize their opportunities for success while maintaining their dignity and integrity.

Leonard H. O. Spearman
Director, Division of
Student Special Services

TABLE OF CONTENTS

I. Introduction 1
- A. Purpose 1
- B. Functional Unity of Talent Search, Upward Bound and Special Services 1
- C. Special Services Students 2
- D. Eligible Applicants 3

II. Project Development 3
- A. Institutional Commitment 3
- B. Proposal Development 3
- C. Board of Directors 3
- D. Project Director 4

III. The Comprehensive Special Services Project 4
- A. Recruitment 4
- B. Admissions 5
- C. Financial Aid 5
- D. Retention 5
- E. Summer Sessions 5
- F. Modification of Curriculum 5
- G. Counseling and Tutoring 6
- H. Reading and Clerical Help for Physically Handicapped Students 6
- I. Faculty and Campus Involvement 7
- J. Cultural Center 7
- K. Media Centers 7
- L. Coordination With Other State and Federal Programs 7
- M. Liaison With Other Colleges, Graduate and Professional Schools, and Sources of Employment . . . 8
- N. Proposer Contribution 8
- O. Evaluation and Research 8
- P. Limitations 8

IV. Staffing 9
- A. Staff Selection 9
- B. Counselors 9
- C. Students 9
- D. Special Staff 10
- E. Community 10
- F. Faculty 11

V. Proposal Format 11
- A. Procedures for Submitting the Application 11
- B. Preparing the Proposal Document 12
  - 1. Title Page 12
  - 2. Civil Rights Compliance 12
  - 3. Program Information List 12
  - 4. Narrative Program Description 12
  - 5. Budget Information 14

VI. Office of Education Proposal Processing 18
- A. Evaluation of Proposals 18

B. Notification to Proposers 18
C. Initial Grant Negotiation 19

VII. Grant Information 19
A. Definitions of Grant Terms 19
B. Scope of Project 20
C. Grant Amendments 20
D. Fiscal Officer 20
E. Limitations on Costs 20
F. Transfer of Funds 20
G. Payment Procedures 20
H. Interest Earned on Federal Funds 21
I. Indirect Costs 21
J. Government Liability 21
K. Accounts and Records 21
L. Termination 21
M. Unobligated Funds 22
N. Prohibition of Political Activities 22
O. Employment of Key Personnel 22
P. Equipment 22
Q. Printing and Duplicating 22
R. Copyright and Publication 22
S. Acknowledgment and Disclaimer in Publication 23
T. Clearance of Forms 23
U. Service Contracts 24
V. Health and Safety Standards 24
W. Travel 24
X. Reports 24
1. Financial Reports 24
2. Report of Excess Personal Property 25
3. Student Information Reports 25
4. Progress Reports 25
5. Final Report 25
Y. Dual Compensation 25
Z. Nondiscrimination 25

Appendixes 27
I. Regional Directors Higher Education 27
II. Title Page of Proposal 29
III. Proposal Information List 30
IV. Budget Summary 32

I. Introduction

A. Purpose

The Special Services for Disadvantaged Students in Institutions of Higher Education Program is entering its first year of operation. The Higher Education Act of 1965, Title IV, Section 408, as amended, authorized:

> remedial and other special services for students with academic potential (a) who are enrolled or accepted for enrollment at the institution which is the beneficiary of the grant . . . and (b) who, by reason of deprived educational, cultural, or economic background, or physical handicap, are in need of such services to assist them to initiate, continue, or resume their postsecondary education.

Further, this legislation authorizes that:

> Special Services for Disadvantaged Students in Institutions of Higher Education may provide, among other services, for:
>
> (A) counseling, tutorial, or other educational services, including special summer programs, to remedy such students' academic deficiencies,
>
> (B) career guidance, placement, or other student personnel services to encourage or facilitate such students' continuance or re-entrance in higher education programs, or
>
> (C) identification, encouragement, or counseling of any such students with a view to their undertaking a program of graduate or professional education.

B. Functional Unity of Talent Search, Upward Bound, and Special Services

The Special Services for Disadvantaged Students in Institutions of Higher Education Program fills a gap that became apparent after a few years' operation of Upward Bound and Educational Talent Search. The two earlier programs provided for the identification, encouragement, and preparation of disadvantaged students for postsecondary education. To answer the need for a program which would allow such students to make progress in postsecondary education with dignity and promise of success the Congress in its Higher Education Amendments of 1968 (Title I, Part A, Section 105, P.L. 90-575) created the Special Services Program. It also placed the two existing programs into legislative and functional unity.

Talent Search works with young people from grade 7 up who are "of financial or cultural need with an exceptional potential" for postsecondary education. Its objective is to help provide opportunities for youngsters to explore available educational and vocational options. In addition, Talent Search counselors attempt to help students make intelligent choices among these options.

Upward Bound works intensively with youngsters from low-income backgrounds and with inadequate secondary school preparation during the summers after their 10th, 11th, and 12th grades, and in followup activities during the 11th and 12th academic years. This program's objective is to aid these students in the generation of motivation and academic skills necessary for success in higher education.

Special Services is designed to help more disadvantaged and physically handicapped students to remain in and complete college. In addition, it is to encourage such students to pursue graduate or

professional education. To meet this goal, Special Services will fund comprehensive programs which indicate that they have considered the student's total environment for learning and developing on and off campus. Counseling, tutoring, innovative curriculums, special personnel, summer sessions, and coordination of community services will be funded in institutions which demonstrate that they have used and will continue to use their faculty and administrative expertise to work with disadvantaged and physically handicapped students and, possibly, community members in the planning implementation, and evaluation of student-centered, action-oriented projects. Students participating in Special Services Programs may have been identified by Talent Search, may have participated in Upward Bound, or may have been identified by other groups.

C. Special Services Students

Special Services is concerned with undergraduate (part-time and full-time) students who require services and innovative curriculums to insure their success in the academic environment. Although the specific target population of the Special Services Program will vary with the local situation, disadvantaged students with combinations of the following characteristics generally will comprise the group served by a Special Services project:

1. Students from low-income backgrounds; the following national poverty criteria (adapted from Table 1, *Poverty in the United States 1959 to 1968,* Bureau of the Census, U.S. Department of Commerce, December 31, 1969) should be used as a general guide:

Family Size	*Nonfarm*	*Farm*
1	$1,800	$1,500
2	2,400	2,000
3	3,000	2,500
4	3,600	3,000
5	4,200	3,500
6	4,800	4,000
7	5,400	4,500
8	6,000	5,000
9	6,600	5,500
10	*7,200	**6,000

*Above 10—add $600 for each additional member
**Above 10—add $500 for each additional member
NOTE: All dollar amounts denote net income before taxes.

2. Students with inadequate high school preparation;
3. Students who are the recipients of welfare or the vocational rehabilitation program benefits;
4. Students who live in public housing for the poor;
5. Students for whom standard English is a second language;
6. Students whose cultural heritage is not represented sufficiently or accurately in the traditional curriculum.

For the purpose of this program, a student will be considered physically handicapped if he is:

1. blind, visually handicapped, or partially seeing;

2. deaf or hard of hearing;
3. speech impaired;
4. crippled;
5. otherwise health impaired to the extent that his physical limitations cause him to need specially designed instruction and related services.

D. Eligible Applicants

Junior and community colleges, technical schools providing at least a 1-year program; colleges, universities, or combinations thereof, or public or private nonprofit agencies, organizations, or institutions designated or created by a group of institutions are eligible to apply.

II. Project Development

A. Institutional Commitment

The success of a Special Services project depends on the commitment the institution makes to the program's objectives. These objectives, as stated earlier, extend beyond the mere recruitment of large numbers of disadvantaged students. The proposing institution must carefully analyze every phase of its operation in terms of how the attitudes, methods and practices in effect maximize the Special Services students' chances for a positive, developmental experience in higher education. This analysis will reveal areas of strength and weakness. Institutions funded in Special Services will be expected to evaluate and, if necessary, to alter their attitudes, methods, and practices as they affect disadvantaged students in at least the following areas:

1. Proposal development
2. Recruitment
3. Admission
4. Financial aid
5. Retention
6. Counseling
7. Tutoring
8. Course offerings
9. Student personnel services

In short, the institution that demonstrates trust and faith in the Special Services students' abilities and a willingness to provide such students with inspiration and support during their academic careers is likely to conduct a successful project.

B. Proposal Development

Institutions might find it advantageous to have the benefit of the experience of representatives from all of its clientele in the planning, implementation, and evaluation of a Special Services project. Therefore, it would be helpful to involve disadvantaged or physically handicapped students, their parents, members of the community, as well as faculty and administrative personnel in a proposal's development.

C. Board of Directors

It is understood that the ultimate responsibility for the project resides in the chief administrative officer of the proposing institution of higher education. However, it is strongly recommended that

each project have a board of directors. Its function is to keep the project on course both humanly and technically, with a respect for the experience and desires of potential project students. More specifically, it would assist in:

1. the selection of a project director;
2. staffing the project;
3. reviewing, recommending, and reconciling budget and project design matters;
4. coordinating activities among the project, the institution, the community, and other groups it represents;
5. preparation of required reports and renewal funding proposals.

D. Project Director

The project director should be someone whose background allows him to understand the problems and requests of Special Services students; he may or may not be chosen from the immediate college faculty or administration.

Each project that is funded for $40,000 or over or which includes more than 50 students should have a director who will spend 100 percent of his working time on the project. (Less than a full-time project director may be approved on an individual basis in projects smaller than this.)

The primary responsibility of the project director should be the supervision of the project, but he must be in close contact with Special Services students on a frequent basis. The project director should have the full backing of faculty and administration who are in a position to make decisions vitally affecting Special Services students. Specifically, he must be in a position to work closely and effectively with counseling and placement services personnel, admissions, and financial aid officers, the dean of students' staff, facuity, and other groups and individuals whose services are essential to the success of the Special Services project.

III. The Comprehensive Special Services Project

The experience of a number of institutions has demonstrated that no single special service—recruitment, tutoring, special counseling, open admissions, special plans for retention of students, remedial programs, or innovative curriculum—will by itself guarantee the success of the physically handicapped or disadvantaged student. To succeed, projects must be comprehensive; they must consider the entire life of the student.

The following are areas likely to require development and change:

A. Recruitment

Special Services will not fund the recruitment of students to an institution of higher education. It will, however, support the identification of potential participants already enrolled and/or accepted by the institution. Project directors should work closely with admissions officers in identifying candidates for Special Services from inner-city high schools, high schools serving large concentrations of low-income students, Talent Search, Upward Bound, the Neighborhood Youth Corps, the State Employment Service, City Youth Boards, the YMCA, YWCA, Job Corps Centers, Neighborhood Centers, and other agencies.

Special recruiting efforts will be necessary to convince prospective Special Services students that the institution does have something to offer them and that they should apply for admission. Descriptive

literature about the institution may need to be rewritten to include those advantages of the institution which will most appeal to the students being sought and to deal most directly with their questions. Project staff may find it helpful to meet with small groups of students once they are enrolled to discuss the goals of the project and the opportunities it may provide.

B. Admissions

Generally, flexible admissions policies will be necessary in order to enroll significant numbers of Special Services students in institutions. Other indicators of academic potential should be sought besides test scores, high school grades, and recommendations from traditional sources. However, recommendations may be encouraged from non-traditional sources: a probation officer, a family friend, a social worker, another student in the college, an employer, or the student himself. A project director and project board of directors should play a major role in the admission procedures and decisions relating to Special Services applicants.

C. Financial Aid

Clearly students cannot do their best work when they are concerned about whether they will be able to eat, find clothes to wear to class, or buy books. Each project should have either the resources to operate its own financial aid program or it should have a cooperative decisionmaking role with the existing financial aid office on matters relating to financial assistance to Special Services students. In addition, procedures should be developed to meet students' emergency financial needs.

Funds from States, communities, and community organizations may be used to supplement the usual student aid funds.

D. Retention

Special Services requires a commitment from the institution to retain the student long enough so that he can suceed. A minimum for retention, regardless of grades, might be 2 years in a 4-year institution and 1 year in a 2-year institution. In addition, the institution might develop a program where a student can take what normally would be 2 years' work in 3 years, so that at a 4-year institution, he would graduate in 5 years. This gives the student time to find out what it will take for him to succeed in the institution and the institution time to discover how it can better serve the student.

E. Summer Sessions

Students with inadequate high school preparation may require an initial summer session to give them a better chance for success in the fall term. Typical summer sessions may include intensified training in reading and individual tutorial or group sessions in college-related skills. They may also include enrollment in standard college level courses so that the student begins to understand the college community. Courses taken in the summer session should allow the student to attempt academic work without the fear of incurring a permanent failing mark.

F. Modification of Curriculum

As the Special Services board of directors and staff analyze the needs of disadvantaged or physically handicapped students, it may be determined that extension and modification of the curriculum will be required. Institutions may wish, as a part of the Special Services project, to design new or modify existing courses to meet the needs of students such as:

1. the Spanish-speaking student in an English course;
2. the Special Services student seeking identity in Western civilization;
3. the blind student in a science laboratory which bases most of its learning on what the student sees through the microscope or diagrams that are not explained or described;
4. the financially poor student in an economics course that assumes a familiarity with stocks, bonds, and corporations;
5. the Mexican-American student in a marriage and family course that assumes as fact the separation of families and the existence of generation gaps;
6. the Indian-American in a history course that assumes that civilization began in this country with the arrival of the Pilgrims;
7. the low-income student in a sociology course that speaks of poverty only in terms of highly abstract theory;
8. the orally fluent but slow-reading student in a lecture and multitextbook course;
9. the student with speech problems in a course that depends upon class participation;
10. the black student in a writing course that does not recognize the validity of the student's language, if it is non-standard;
11. the student who desires to have a better concept of his cultural heritage or identity;
12. the student who desires to solve problems within his community;
13. the student who requires the development of basic mathematical concepts;
14. the student in a basic science course that assumes a knowledge of the scientific method.

In addition to the broad areas mentioned above, institutions may wish to modify their curriculums to include such activities as practicums in community work, independent study, small-group seminars, group teaching, use of students as teachers in the community, field study, topical approaches to the subject matter, introduction of new authors as well as the utilization of experts in matters ordinarily not recognized by academic institutions.

It is emphasized that Special Services students should never be outside the degree granting structure of the institution. Programs in which they are enrolled, including innovative series of courses, must be recognized by the institution as equivalent to other academic programs leading to the awarding of degrees and certificates. This recognition is essential, even though academic or financial considerations may extend the programs beyond the usual period of time necessary for completion of a student's study. Students may take non-credit skill courses to correct deficiencies, or they may be part time students, but their overall program should be designed to insure their continued progress towards the desired credential. Graduate and professional schools must have confidence that a degree granted to the Special Services student is as sound as any other degree.

G. Counseling and Tutoring

Special counseling and tutoring services will be required for the disadvantaged or physically handicapped students during their period of adjustment to a different system. Counselors and tutors will provide opportunities for students to develop sufficient confidence so that they will be able to realize their identity and goals. Tutoring, especially, will enable Special Services students to know where their learning difficulties are and how they can be remedied. Tutoring should assist them to identify patterns of strength as well as weakness. Through counseling and tutoring, every effort should be made to help the Special Services students to develop confidence in themselves.

H. Reading and Clerical Help for Physically Handicapped Students

Many physically handicapped students will require assistance in completing reading, writing and other assignments. Projects should work with each student individually to develop a schedule of services

required and to provide assistance when the student needs it. To meet emergencies, projects should designate a person as coordinator of reading and clerical help who could quickly assign persons available from a pool.

I. Faculty and Campus Involvement

The success of a Special Services project can depend upon the understanding by the entire institution of what is involved in Special Services, what the project will do, why the project is necessary, what part the faculty and staff can play, and what role the project plays in the total operation of the institution. Each proposal should indicate how faculty will be involved. Faculty must be told of the principles upon which this program has been established and its impact locally and nationally.

The development of respect for Special Services students by secretaries, cafeteria workers, campus police, and maintenance personnel, among others, is very important. Faculty can aid in the development of this respect themselves by showing respect for Special Services students and for project staff.

Emphasis should be given to faculty and campus involvement with low-income and physically handicapped students. It is hoped that eventually the Special Services project will become absorbed into the institution's general structure.

J. Cultural Center

Institutions may wish to establish cultural centers in order to provide the Special Services students with opportunities to share ideas and participate in various forms of free expression. These centers might be combined with media centers, but every effort should be made to avoid locating them near areas which require total or partial quiet. Most important, the students should decide what cultural activities take place in the center. Such centers may function as sources of information for members of the college community who may not be members of disadvantaged students' cultures through publications, dramatic productions, art shows, open houses and the like.

K. Media Centers

In order to serve disadvantaged students effectively, institutions must have libraries which adequately represent writers and cultures that reflect their life style. A section of the library might be set off as a multicultural center, with authors from various ethnic groups represented in books written from the point of view of the ethnic group involved.

The physically handicapped student will require a media center with railings, handgrips, a braille dictionary, tape recorders, braille writers, magnifiers, taped lectures, taped books, and book stands with page turners. Most of the equipment should be purchased with funds other than Special Services grants.

L. Coordination With Other State and Federal Programs

The greater the number of effective resources brought into play in a particular project, the greater the prospects for success. Although projects may exist and survive on Special Services funding and institutional resources, applicants are encouraged to seek cooperation with and perhaps funding from such programs as Talent Search, Upward Bound, Education Professions Development, Cooperative Education, Developing Institutions, New Careers, Career Opportunity Program, and College Work-Study. Where a Model Cities program is in effect, the proposing institution should enlist its director's assistance in pulling Federal resources together for the proposing institution.

M. Liaison With Other Colleges, Graduate and Professional Schools, and Sources of Employment

A function of the Special Services project is to enable disadvantaged and physically handicapped students to continue their education at postgraduate level. Toward this end, 2-year institutions must aggressively seek transfer for students who wish to complete college. Four-year institutions must similarly seek admission to graduate or professional study for students who would desire it. In some projects it may be necessary for a full-time staff member to work with other institutions creating opportunities for students. The same or another staff member might work with the college placement office, local industry, or other groups and organizations to develop job opportunities for students.

N. Proposer Contribution

It is expected that the applicant will maintain and increase ongoing efforts to serve the disadvantaged or physically handicapped students. It is expected that Special Services projects which request renewal of funding will have begun to show strong institutional and local support.

O. Evaluation and Research

Special Services projects are not meant to be research projects because (a) their design may need to be altered and (b) they must not make use of control groups. If the original plan of the board of directors proves unworkable, it must be altered immediately. A mechanism for change (with a clearly defined device for responding to student evaluation) must be built into the project. With regard to control groups, no student in a Special Services project should be excluded from any service which might enhance his educational opportunities.

P. Limitations

Although Special Services clearly intends to work in institutions where comprehensive projects for physically handicapped or disadvantaged youth have been or are being developed, it cannot fund major modifications of physical campus facilities or direct student financial support. It will be necessary to provide financial aid and student stipends from sources other than Special Services. Institutional scholarships and grants and Federal financial aid must be sought and used. Although all may be necessary to a successful project, *Special Services will not fund*:

1. recruiting of Special Services students;
2. development of special sections of remedial courses already in existence or for the use of total student body;
3. duplication of services available through such agencies as Vocational Rehabilitation, Medicare, Social Service, Welfare, and the Department of Employment;
4. professional personnel training programs;
5. student stipends, grants, scholarships, or loans;
6. faculty for teaching courses available to the entire student body;
7. construction of dormitories;
8. building of tutorial, cultural, or media centers;
9. substantial outfitting of tutorial, cultural, or media centers.

In addition, Special Services will not assume the conventional cost for staff in ethnic studies programs. The proposer institution must do this. The applicant may, however, request consultants, planning time, experimental small sections, and evaluation, but the cost of staffing an ethnic studies division must be borne by the institution.

IV. Staffing

A. Staff Selection

Project directors, in consultation with the board of directors, will develop their own staffing pattern, depending on the needs of the students in the project. Criteria for selection should stress background, ability to work with the students being served, experience, and special skills. Staff members must be acutely aware of attitudes at the institution, the concerns of the students, and the kinds of conflicts which can arise between the two.

Staff members must regard the students they are serving as fully participating members of the college community. In addition, the staff will have to be talented in giving flexibility to institutional procedures which were not designed for, but must meet, the needs of physically handicapped or disadvantaged students.

The following are examples of sensitivities which the staff must have if they are to be successful with Special Services students:

1. to know when and how to help a physically handicapped person;
2. to convey a sense of confidence to students who may be ill at ease in the academic environment;
3. to permit students to make their own mistakes;
4. to work with faculty and administration in the development and use of modified techniques with these students, such as oral rather than written tests.

B. Counselors

The role the counselor in the Special Services project plays may be one of the most important in the program. Every effort must be made by the institution to select counselors whose background and training indicates likelihood of success with the Special Services student. These counselors must be able and willing to put themselves in the student's place in listening and responding to his observations, fears, complaints, and hopes. Counselors must be able to act promptly on the student's behalf to correct those environmental and institutional conditions which unnecessarily burden the student.

It is strongly recommended that counselors working with Special Services students be full-time employees. It may be necessary to modify the counselors' work schedule to make them available at all times. Most important, every effort must be made to find counselors who are willing to be flexible and who have had successful experience working with disadvantaged or physically handicapped young people.

Applicants should state what kind of training or background will be sought in hiring counselors. If such counselors are not immediately available, the applicant should indicate how the project's counselors will be trained. The applicant should also indicate what supporting help will be available to counselors and how many counselors and counselor-aides will be students.

C. Students

Students may be employed in Special Services projects to:

1. act as tutors, readers, and clerks;
2. function as tutor-counselors;

3. act as community liaisons;
4. act as curriculum advisors.

Orientation and training are important aspects of involving students in Special Services programs. Students must clearly understand their role in projects.

Students selected as tutor-counselors should be assigned to each Special Services student. The tutor-counselor should live in the same dormitory or housing unit as the Special Services student. He should be familiar with the Special Services project to insure that his advisee takes full advantage of its services, particularly the range of tutoring services available. He should have a complete working knowledge of the institution's administration so that he knows where to send his advisee to remedy administrative problems. He must know how a student can drop a course, petition for credit, get an extension of time, apply for independent study or a leave of absence, and obtain student financial aid. He should be in continual contact with his advisee's staff counselor.

Another role for students in the project will be as tutors in specific academic subjects. A tutor must know the kinds of problems his student faces; he must know or be trained to know where learning difficulties take place and how they can be remedied; he must know or be trained to know that inadequate preparation is not synonymous with lack of intelligence; and he should believe with full confidence that his advisee will graduate from the institution.

D. Special Staff

In addition to project directors, counselors, tutor-counselors, tutors, and curriculum innovators, Special Services may require a wide range of staff not usually present in an institution of higher education. Such staff might include:

1. community liaison persons;
2. agency liaison persons—those who actively seek out community resources which meet the needs of the students for:
    a. housing;
    b. welfare;
    c. child care;
    d. transportation;
    e. legal aid;
    f. medical and dental care;
    g. jobs—part-time, summer, and permanent;
    h. social security.
3. a coordinator of attendants for the physically handicapped;
4. a member of the faculty or administration to keep students informed regarding professional and graduate opportunities.

E. Community

Projects are encouraged to employ persons with backgrounds similar to the students to:

1. aid in screening staff for the project;
2. design and implement community based studies;
3. advise on or work in programs of financial aid;

4. work with students, faculty, and administration in defining student needs and the special services which address those needs;
5. aid in faculty in service training programs to help develop total institutional commitment to the project;
6. serve as counselors and residence heads;
7. aid in the planning and implementation of new curriculums and in the development of innovative instruction;
8. serve as aide to deans of instruction, deans of student personnel, and deans of students;
9. interpret the needs of low-income communities from which the students come;
10. serve on the project board of directors.

Those projects which work with physically handicapped students will want to encourage participation from local agencies concerned with the handicapped, such as the Easter Seal Society, March of Dimes, the Cerebral Palsy Association, and the Heart Association. These agencies can provide resource persons to assume many of the responsibilities listed above.

F. Faculty

Faculty can be of service to the project as:

1. advisers in student tutoring, counseling and curriculum modification;
2. academic tutors;
3. members of the planning committee and board of directors;
4. advisers to the project from the departments or disciplines which are directly concerned with education for the handicapped;
5. liaisons between the project and the total college community.

V. Proposal Format

Applicants are encouraged to adhere closely to the proposal format as described in this section. This will enable the Office of Education to review proposals without unnecessary delay. Questions regarding the funding of specific parts of a project should be directed to the Special Services staff.

A. Procedures for Submitting the Application

1. The deadline for submitting proposals to be considered for funding from the fiscal year 1970 appropriation is April 27, 1970. A proposal postmarked later than April 27, 1970 will not be considered for funding. Because of funds limitation and the stiffness of competition, it may not be possible for the Office of Education to fund all of the top proposals.

2. Seven copies of the proposal should be sent to:

   Special Services Program
   Bureau of Higher Education
   Office of Education, DHEW
   Washington, D.C. 20202

3. One information copy should be sent to the appropriate Office of Education Regional Office (see Appendix I).

4. All proposals must be DOUBLE SPACED and stapled only at the upper left-hand corner. Please

do not use any binding for the proposal document and do not include descriptive material (brochures, reports, etc.) which is not part of the proposal itself.

B. Preparing the Proposal Document

The proposal document should include all information necessary for evaluation of the proposed project. It should be descriptive and inclusive but concise and economical in use of words. Essentially the proposal will have five parts:

1. *Title Page*

   Nothing should precede the title page. The format in Appendix II should be used.

2. *Civil Rights Compliance*

   Form HEW-441 must be filed if the proposer has not already done so. If the form is already on file, a statement to this effect should be included.

3. *Program Information List*

   The checklist form shown in Appendix III must be completed. Please be as succinct as possible. This list will be used frequently for brief reference to the proposal.

4. *Narrative Program Description*

   Careful attention should be given to those areas emphasized in the proposal instructions describing the Special Services student, Project Development, the Comprehensive Project, and Staffing. The following list of questions follows the same order as the preceding explanatory text. Information should be provided in clear, concise language which enables the reader to understand what the proposer has done or is planning to accomplish. We understand that you cannot precisely describe the individual students to be in your project at this time. However, you should have an idea of the students in the target area your admission's office will recruit and the characteristics of that population.

   a. The Special Services Student

      [1] Identify and describe the disadvantaged and physically handicapped students at your institution who need Special Services. Indicate how your institution intends to select such students in the future, and specify the sources of candidates, how contacts will be made, what procedures for admission to the institution will be followed, what financial aid commitment and policies will be established, and how special needs of students admitted will be identified and met.

      [2] Describe the special problems and needs of disadvantaged and physically handicapped students in undertaking, continuing, or resuming their education at your institution. Describe also the institution's accomplishments in working with such students in the past, including analyses of both successes and failures.

      [3] Describe the services currently available to disadvantaged or physically handicapped students, the number of students being served, and the additional number to be served by the Special Services project. If the total institutional need exceeds the

combination of these two groups, indicate institutional plans to obtain the additional resources necessary.

b. Project Development

[1] Include a description of the process of proposal development indicating the role of administrative officials, faculty; disadvantaged or physically handicapped students; their parents; and other groups relevant to the project.

[2] How will the Board of Directors be chosen? What powers will it have? How will it function?

[3] Provide brief materials (with a chart, if possible) describing the proposing institution's organizational structure and the administrative status of the project director within this structure. Indicate the degree of fiscal and administrative discretion to be granted to the proposed Special Services project. Describe the relationship between the project staff and the financial aid and admissions offices.

[4] Identify the functions and policy making powers of community members and students. Indicate the availability of student and community organizations on the campus which represent the social or ethnic backgrounds of the students and the ways in which the organizations will relate to the Special Services project.

c. The Comprehensive Project

[1] Outline the objectives of the proposed Special Services project and describe how they are to be met; include the counseling, tutoring, career guidance, student personnel, and other educational services to be provided and describe special institutional arrangements and curriculum modifications designed to maximize retention of such students. Indicate also the facilities which the institution will make available to the project. Do not hesitate to include innovative approaches beyond those covered in these instructions.

[2] Describe specifically how counseling and tutorial services will be offered, the counselor-student ratio, and supportive assistance available to counselors.

[3] In what ways will the total faculty, administrative staff and student body of the institution be oriented to the methods and goals of the Special Services project?

[4] Describe any plans for special summer sessions. Proposers are to specify what courses students will take, what deficiencies are to be remedied, what grading system will be employed, and what assistance will be available to students to orient them to the institution.

[5] Describe any plans that the institution may have for the establishment of cultural and/or media centers. Indicate the equipment and books required to equip the media center and the extent to which Special Services grant funds will be used to support such purchases.

[6] Describe how your Special Services project will relate to other public and private programs serving the same target population.

[7] Describe the mechanisms for evaluation and change in your project.

[8] Describe your plans for providing opportunities for the further education of Special Services students.

d. Staffing

[1] Following the requirements and recommendations on staffing as described previously, the proposal should include a narrative statement describing the personnel to be hired and the qualities and experience to be looked for, and should set forth the staffing pattern and specific responsibilities for project staff members, including the following information on the project director if known:

[a] age, sex, and ethnic group;
[b] work experience;
[c] educational background;
[d] present position and employing agency—present salary;
[e] position to be held at the institution if the project is funded.

[2] What role will community members have in staffing decisions?

[3] What is the availability of staff to meet the criteria described in d.[1]? Describe the ways in which professional and student staff will be trained?

[4] What plans have been projected for use of special staff?

5. *Budget Information*

The budget should reflect the total cost of the comprehensive project. Costs can only be included for services beyond those normally provided for all students. Distinctions should be made between those to be supported by the institution and other sources. All budgeted items must be in support of and directly related to the activities described in the body of the proposal. Appendix IV, Budget Format, is provided as a means of assisting you in preparing a detailed budget.

The following discussion is designed to give an applicant both general and specific information about what types of costs are allowable. It is organized according to the cost and subcost categories used by OE.

Indirect costs in this program are limited to 8 percent of direct costs reimbursable by the Federal Government for Special Services. Special effort should be made to see that items included in indirect cost computation do not appear also as direct costs. Project directors should be familiar with the composition of the institution's indirect cost pool and should be able to demonstrate that the Government is not charged twice for the same item. For instance, some universities include the cost of office furniture, secretarial help, telephone charges and employee fringe benefits in indirect costs. These and comparable items should not appear as direct costs when they are included in an indirect cost computation.

Except as modified, the allowability of any costs will be governed by Bureau of the Budget Circular A-21, as amended.

a. Direct Costs

The following discussion is designed to give an applicant both general and specific information about what types of costs are allowable in the direct cost budget categories.

[1] Personnel

Each individual's salary is to be listed showing the total annual salary or hourly wage with the estimated total hours to be worked. In cases in which an individual's salary will come from more than one source—Federal funds or proposer contribution—the amount from each should be shown. If an individual will be employed during only a portion of the contract year, his total annual salary base should be shown along with the portion of the year during which he will be employed. Included in personnel costs is compensation to people from the community serving on advisory boards who meet the low-income criteria indicated on page 2. Such compensation may not exceed $25 a day and $100 per month to any one person.

The Office of Education will allow as a program cost the matching share which the applicant must supply to meet the requirements of the Work-Study provisions of the Higher Education Act if the students paid under that program are employed in the Special Services project.

In the Work-Study program, the Federal Government provides 80 percent of a student's salary. This 80 percent should be reported as "Other Federal Funds Requested." The proposer has the option of providing the 20 percent and other costs related to employment either from the Federal Special Services funds, as a "proposer contribution," or "other" as the case may be. The reasons for such variation should be explained.

[2] Space Rental, Equipment, and Supplies

[a] Space

Only charges for space (e.g., office space off campus during the academic year) to be paid to a third party which is not part of the sponsoring institution may be included. The cost would have to be justified both as to reasonableness and as to the necessity in unusual situations where campus facilities cannot suffice. All other costs for space provided by the sponsoring institution are included in the indirect cost of up to 8 percent.

Project office space should be described by rate per month, giving also the total square footage included in this rate.

Space on a continuing basis for other project activities should be listed in the same way as that for office space.

Rental of meeting rooms, etc., which will be used only once or occasionally should be shown at a price per usage, giving also the total estimated cost for all usages.

[b] Equipment

Equipment is defined as anything which is nonconsumable (supplies are considered consumable). List items at a cost per unit, indicating whether the item or items are to be purchased or rented, and give the total amount estimated for each kind of item.

Rental, lease, or purchase of equipment should include only costs for items such as audiovisual equipment, furniture, office equipment, or machinery actually paid to a third party. The purchase of equipment costing more than $100 or with a life of more than 1 year must have the prior written consent of OE. Such costs will be allowed only where it is clearly shown that facilities already owned by the applicant cannot suffice.

[c] Supplies

Supplies include all consumable items. Supplies are normally included in the 8 percent indirect cost. Therefore, desk-top supplies, mimeograph paper, IBM cards, pamphlets, brochures, etc., should be provided by the sponsoring institition.

[3] Communications and Utilities

Except for long distance telephone charges, these costs are included in the indirect cost. Where the proposal includes an off campus facility, costs for telephone and utilities should be indicated in the following categories.

[a] Telephone (Indicate number of instruments)

Show the estimated cost for:

(1) installation of instruments;
(2) monthly rental per instrument and the total for all;
(3) estimated toll (long distance) charges for the year.

[b] Utilities

Show the estimated cost for:

(1) heat;
(2) lights;
(3) other.

[4] Travel

Project travel should be carefully thought out during the proposal and budget preparation. The following breakdowns should be shown.

[a] Staff Travel

(1) Transportation costs may not exceed tourist class air fare, unless such accomodations are not available. For automobile mileage, either the Office

of Education rate of 9¢ per mile, or the established institution or agency rate, whichever is lower, should be used.

(a) Conferences—list number to be attended and number of staff members attending, including a breakdown between in-State and out-of-State.

(b) Meetings with other agency and/or institutional people, such as visits to communities (for staff, with or without students). Indicate transportation by car and by public conveyance.

(c) Local transportation—except for transportation to and from work, this will usually be by automobile and cost per mile and estimated miles should be shown whether for reimbursement for use of private automobile or use of institution or rented automobile.

(2) Per diem is a specified rate allowed per day to compensate a person in travel status for his living expenses. This includes meals, lodging, all fees and tips to waiters, porters, etc., telegrams and telephone calls reserving accomodations, laundry, cleaning and pressing of clothing, and other miscellaneous related items. Necessary telephone calls and/or telegrams or official business are allowable exclusive of per diem.

Generally, an allowance based on the institution's established rate not to exceed $25 per day is permitted when in travel status 10 hours or more. The $25 will be prorated on the basis of 4 quarters per day beginning at midnight. However, if traveller is in travel for 10 hours or less between the hours of 6 a.m. and 8 p.m., he will *NOT* receive per diem. If traveller leaves before 6 a.m. or returns after 8 p.m., for a total of 6 hours or more, but not more than 10 hours, he will receive $9 per diem.

Transportation and per diem costs for faculty and staff to attend meetings required by the Office of Education, meetings specifically connected with matters closely connected with Special Services problems, or visits to nearby Special Services projects can be reimbursed. Travel expenses here are subject to the same limitations as indicated earlier.

[b] Consultant Travel

The same breakdown and allowances used for staff travel should be used here. Please note that consultant fees are to be shown under Services. The conditions under which consultants are to be paid travel and per diem should be made very clear to them prior to the time they agree to consult with or for the project.

[c] Transportation of Students

Transportation of students to and from community based project activities and to and from the institution may be paid for with project funds. The estimated number of trips and cost should be shown.

[5] Service

This category should include estimated detailed costs of services generally used in most projects.

[a] Sponsoring institutions should be reasonable in their use of consultants from outside of the institution. Fees should be substantially below the Office of Education's maximum of $100 per day. It is OE's policy that employees of the sponsoring institution may not serve as consultants to federally funded projects at that institution during their normal work day at the institution.

[b] Sponsoring institutions may enter into contracts or agreements for the provision of part of the services under this grant by other appropriate public or private agencies or institutions. Such contract or agreement shall incorporate these grant terms and all other rules and regulations, applicable to the program, shall describe the services to be provided by the agency or institution, and shall contain provisions assuring that the Grantee will retain supervison and administrative control over the provision of services under the contract. Services to be provided by contract pursuant to this section shall be specified in the project proposal or in an amendment thereto, and any proposed contract exceeding $2,000 shall be submitted to the Grants Officer and be approved by him in writing.

[c] Generally, costs for audits, accounting, and janitorial services will be included in the indirect costs. When the project rents space off campus, janitorial services will be permitted as a direct cost.

[6] Other Contribution Categories

The category, Proposer Contribution, should relate directly to the cost of continuing the efforts already made by the institution. "Other Federal Funds Requested" should relate to the institution's efforts to provide services which are essential for an effective, comprehensive program, but not permitted to be funded under Special Services. "Other" should reflect the institution's efforts to find funds locally.

VI. Office of Education Proposal Processing

A. Evaluation of Proposals

Each proposal submitted will be read by at least three field readers by May 17, 1970. The field readers' evaluations will be reviewed by the Special Services staff; funding recommendations will be forwarded to the Associate Commissioner, Bureau of Higher Education, for approval, not later than May 30, 1970.

B. Notification to Proposers

Upon the Associate Commissioner's approval, a notification of intent to fund subject to final negotiation will be sent to the proposal supervisor. All notifications are tentative; commitments to staff members cannot be made until the actual grant document has been signed by the appropriate officials.

Please do not inquire regarding the status of your proposal, since information will be unavailable until the notification indicated above. Proposal supervisors not funded will be notified at the same time as those to be funded.

C. Initial Grant Negotiation

Each grant is negotiated at an estimated total cost for the project which may not be exceeded during the time period of the grant. Negotiation is that process in which a legal and mutually satisfactory grant arrangement is made between an approved applicant and the Office of Education. The Office of Education Grants Officer will negotiate an agreement with the approved applicant concerning project activities and the corresponding extent of Federal support.

VII. Grant Information

Special Services projects will be funded through grants from the Office of Education to the proposing organization. It is imperative that all applicants understand clearly the requirements of such a funding mechanism. You are assured that all actions which affect the programmatic aspects of the project will be coordinated with and reviewed by the Program Officer.

A compilation of paragraphs on specific information which the proposer needs to know prior to writing the proposal follows.

A. Definitions of Grant Terms

1. Commissioner—the Assistant Secretary/Commissioner of Education
2. Project—the identified acitvity or program approved by the Commissioner for support
3. Grantee—the institution, organization, or agency named in the grant as the recipient of the grant award
4. Program Officer—the Talent Search/Special Services Branch Chief in the Office of Education who is responsible for monitoring of the project
5. Grants Officer—the employee of the Office of Education who has been delegated authority to execute or amend the grant document on behalf of the Government, and is responsible for insuring compliance with the terms and conditions of the grant
6. Project Period—the total length of time specified in the Notification of Grant Award for which a project is approved
7. Budget—the amount of funds approved by the Office of Education for designated services, materials, and other items for a given grant activity
8. Project Director—the employee of the Grantee who has been delegated responsibility for the execution of the Special Services program activities funded by the Office of Education
9. Proposal Supervisor—the employee of the Grantee who has been delegated supervisory responsibility for the work performance of the Project Director

B. Scope of Project

The project activities during the grant period must be consistent with the proposal as approved for support by the Commissioner and referred to in the Notification of Grant Award and shall be performed in accordance with this document.

C. Grant Amendments

The conditions of the grant may be changed at any time by mutual agreement. If any such change causes an increase or decrease in the cost of or the time required for performance of this work, or otherwise affects any conditions of this grant, an equitable adjustment may be made in the cost and in such other conditions of this grant as may be affected, and the Grants Officer shall modify such changes in writing.

D. Fiscal Officer

Each applicant must designate in the proposal the officer who will receive and have custody of project funds. Each Grantee receiving Federal funds for an approved project shall provide for such fiscal control and fund accounting procedures as are necessary to insure proper disbursement of, and accounting for, the Federal funds paid to it. Accounts and supporting documents relating to project expenditures shall be adequate to permit an accurate and expeditious audit.

E. Limitations on Costs

The total cost to the Government for the performance of the grant will not exceed the amount set forth in the Notification of Grant Award or any appropriate modification thereof. The Government shall not be obligated to reimburse the Grantee for costs incurred in excess of such amount unless and until the Grants Officer shall have notified the Grantee in writing that such amount has been increased and shall have specified in a revised grant award a revised amount which shall thereupon constitute the revised total cost of performance of the grant.

Grantees are hereby notified that 10 percent of the total grant amount will be withheld pending submission and approval of a final report.

F. Transfer of Funds

The Grantee may transfer funds among the various cost categories in the negotiated budget to the extent necessary to assure the effectiveness of the project. However, no transfers may be made which alter the original objectives of the project, and no increases may be made in the "Travel" and "Equipment" categories of the grant, without prior approval of the Grants Officer.

G. Payment Procedures

Funds awarded through a grant will be paid to the Grantee through the Office of Education Finance Division, based upon submission of Form OE-5141 (Quarterly Estimated Requirements for Federal Cash) and Form OE-5140 (Monthly/Quarterly Report of Disbursements of Federal Cash). The identification of the appropriate Federal payment agency, together with other applicable payment information, will be set forth in each Notification of Grant Award, as will the name, address, and telephone number of the official to whom technical questions concerning payments of grant funds are to be directed.

H. Interest Earned on Federal Funds

Interest earned on Federal funds awarded under this program shall be refunded by check drawn payable to the U.S. Office of Education and mailed to the Financial Division, Office of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202. This section does not apply if Grantee is a State agency or institution.

I. Indirect Costs

Indirect costs related to the performance of a Special Services project *are* reimbursable to a maximum of 8 percent of the total Federal direct costs.

J. Government Liability

The Federal Government shall not be liable with respect to injuries, illness, or claims arising out of any work undertaken in a project supported under Special Services.

K. Accounts and Records

The Grantee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under the grant. The system of accounting employed by the Grantee shall be in accordance with generally accepted accounting principles normally used by State or local institutions, organizations, or agencies, and must be applied in a consistent manner so that the project expenditures can be clearly identified. Even though this project requires close coordination with other institutional, local, State, and Federal programs, care must be taken to avoid the commingling of funds.

All program activity and fiscal records directly relating to transactions under this grant will be subject to inspection, evaluation and audit by the Department of Health, Education, and Welfare, or its duly appointed representative, at all reasonable times during the period of retention provided for below. Each Grantee shall make appropriate provision for the local auditing of project expenditures records, and such records as well as the audit reports shall be available to auditors of the Federal Government.

Disposition of Records: except as provided below, all pertinent records and books of accounts related to this grant in the possession of the Grantee shall be preserved by the Grantee for a period of 5 years after the close of the project period in which final expenditures are made or until the Federal audit, whichever is earlier, except that all records must be kept at least 3 years. Records relating to any litigation or claim arising out of the performance of this grant, or costs and expense of this grant to which exception has been taken as a result of inspection or audit, shall be retained by the Grantee until such litigations, claims, or exceptions have been disposed of.

L. Termination

Grants may be terminated in whole or in part by the Government at its convenience. Termination shall be effected by delivery to the Grantee, of a written notification signed by the Grants Officer. Financial obligations incurred by the Grantee prior to the effective date of the termination will be allowable. The Grantee agrees to furnish the Grants Officer within a specified period of time after termination an itemized accounting of funds expended, obligated, and remaining under the grant. The Grantee also agrees to remit any amounts found due within 30 days of the receipt of a written request of the amount due.

M. Unobligated Funds

Any funds remaining unobligated at the expiration of the Project Period shall within 90 days of the date of expiration of said period be refunded by check made payable to the U.S. Office of Education. All *refunds* must refer to the Grant Number shown on the Notification of Grant Award.

N. Prohibition of Political Activities

No Special Services project shall be carried on in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of the project with (1) any partisan or nonpartisan political activity or any other political activity associated with a candidate, or contending faction or group, in an election for public or party office; (2) any activity to provide voters or prospective voters with transportation to the polls or similar assistance in connection with any such election; or (3) any voter registration activity.

O. Employment of Key Personnel

The Project Director is considered to be essential to the work being performed. Therefore, the Program Officer must concur in the selection of the local Project Director. If for any reason a substitution of the individual specified in the proposal becomes necessary, the Grantee shall provide timely written notification of the change to the Grants Officer. Such written notification shall include the recommended successor's name, with a resume of his qualifications.

P. Equipment

1. Definition: As used here, the term "equipment" means nonconsumable personal property to be used in the performance of the grant having an acquisition cost of $100 or more, or a useful life expectancy greater than 1 year.

2. Abandonment of Government-owned equipment: The Government shall have the right to abandon in place any item of equipment, the title of which vests in the Government, provided or acquired under the grant. Upon prior written notice of abandonment by the Grants Officer the Government shall have no further obligation to the Grantee with respect to the Government-owned property so abandoned.

3. Use: Equipment purchased with grant funds shall be used only to accomplish the purposes of the grant unless another use is approved in writing by the Grants Officer. The Grantee shall maintain current inventory of all such equipment and shall safeguard and protect the equipment in accordance with prudent property management practices.

Q. Printing and Duplicating

All printing and duplicating authorized under this grant are subject to the limitations and restrictions contained in the current issue of the U.S. Government Printing and Binding Regulations.

R. Copyright and Publication

1. The term "materials" as used herein means writings, sound recordings, films, pictorial reproductions, drawings, or other graphic representations, computer programs, and works of any similar nature produced under this grant. The term does not include financial reports, cost analyses, and similar information incidental to grant administration.

2. It is the policy of the Office of Education that the results of activities supported by it should be utilized in the manner which would best serve the public interest. To that end, except as provided in Paragraph 3, the Grantee shall not assert any rights at common law or in equity or establish any claim to statutory copyright in such materials; and all such materials shall be made freely available to the Government, the educational community, and the general public.

3. Notwithstanding the provisions of Paragraph 2 above, upon request of the Grantee or his authorized designee, arrangements for copyright of the materials for a limited period of time may be authorized by the Commissioner, through the Grants Officer, upon a showing satisfactory to the Office of Education that such protection will result in more effective development of dissemination of the materials and would be in the public interest.

4. With respect to any materials for which the securing of copyright protection is authorized under Paragraph 3, the Grantee gives a royalty-free, non-exclusive and irrevocable license to the Government to publish, translate, reproduce, deliver, perform, use and dispose of all such materials.

5. To the extent the Grantee has the right and permission to do so, the Grantee gives to the Government, nonexclusive and irrevocable license to use in any manner copyrighted material not first produced in the performance of this grant but which is incorporated in the materials. The Grantee shall advise the Grants Officer of any such copyrighted material known to it not to be covered by such license.

S. Acknowledgement and Disclaimer in Publication

Any publication or presentation resulting from or primarily related to the project being performed hereunder shall contain the following acknowledgment:

> "The project presented or reported herein was performed pursuant to a Grant from the U.S. Office of Education, Department of Health, Education, and Welfare. However, the opinions expressed herein do not necessarily reflect the position or policy of the Office of Education, and no official endorsement by the Office of Education should be inferred."

T. Clearance of Forms

To permit proper monitoring and clearance, the Grantee is to submit to the Program Officer, prior to use, 5 copies of all tests, questionnaires, interview schedules or guides, and rating scales which are to be employed in collecting data from 10 or more individuals or organizations. A brief report of related information (such as purpose of the study, relevance of the data-gathering instruments to these purposes, nature of the sample, number of respondents, burden on respondents, etc.), must accompany the copies of the instruments, in accordance with directions from the Office of Education (Clearance time-lag approximately 45 days).

Exceptions: Copies need not be submitted of conventional instruments which deal solely with (1) cognitive functions or technical proficiency (e.g., scholastic aptitude, school achievement, etc.), (2) routine demographic information, or (3) routine institutional information. However, a report of the "related information" (as specified above) concerning the particular data gathering instrument must be supplied to the Program Officer in order to permit appropriate monitoring and clearance.

U. Service Contracts

The Grantee may enter into contracts or agreements for the provision of part of the services under the grant by other appropriate public or private agencies or institutions. Such contract or agreement shall incorporate these grant terms and all other rules and regulations, applicable to the program, shall describe the services to be provided by the agency or institution, and shall contain provisions assuring that the Grantee will retain supervision and administrative control over the provision of services under the contract. Services to be provided by contract pursuant to this section shall be specified in the project proposal or in an amendment thereto, and any proposed contract exceeding $2,000 shall be submitted to the Grants Officer and be approved by him in writing.

The Grantee may *not* enter into contracts or agreements for the provision of part of the services under this grant by other appropriate public or private agencies or institutions without prior written approval of the Grants Officer if in excess of $2,000.

V. Health and Safety Standards

Whenever the Grantee, acting under the terms of the grant, shall rent, lease, purchase, or otherwise obtain classroom or office facilities (or any other facilities) which will be used by staff members or students, the Grantee shall comply with all health and safety regulations and laws applicable to similar facilities being used in that locale for such a purpose.

W. Travel

Travel funds are available for the following general categories:

1. to national and regional Special Services conferences (as called);
2. to various educational and professional conferences;
3. to meetings with other agency and institutional people;
4. to and from community based activities;
5. for consultant travel.

It is very important to note that individual projects must impose strict standards upon themselves in structuring the travel budget to obtain maximum use of travel funds at minimum cost.

X. Reports

The Grantee must submit the fiscal and technical reports described below. Financial and property reports must carry the signature of both the Project Director and the Fiscal Officer of the Grantee. Quarterly reports and annual reports must be signed by the Project Director and the authorizing official.

1. Financial Reports

The Monthly/Quarterly Report of Disbursements of Federal Funds (OE-5140), the Quarterly Estimated Requirements for Federal Cash (OE-5141), Letter of Credit, or NIH instrument, will serve as interim financial reports. The Grantee shall submit a Final Financial Report within 30 days after the end of the Project Period. Adjustments of audit exceptions and differences between reported obligations and final expenditures must be reported separately, attached to the Final Financial Report. Five copies of the Final Financial Report must be submitted to the Project Officer.

2. Report of Excess Personal Property

The Standard Form 120 will be submitted if grant award funds were used to purchase office equipment and furniture. Even if grant funds were not used to purchase office equipment and furniture, the Form 120 should be submitted marked "Not Applicable."

3. Student Information Reports

In order to assist the Office of Education to prepare reports for Congress and other public bodies, academic institutions participating in the Special Services Program will be required to cooperate in supplying data on students served by the program. The reports will also be part of a national effort to provide a comprehensive and ongoing evaluation of the program. Project boards of directors should plan carefully at the beginning of the grant period to collect and record data on the following:

a. students' backgrounds;
b. students' educational history;
c. Special Services provided to students;
d. students' progress in higher education.

Such reports will be required annually, and in the case of a change in the student composition, by semester or quarter.

4. Progress Reports

In addition to student information reports, semiannual progress reports will be required of all Special Services projects, one at the end of the fall term of the institution's academic year, the other at the end of the spring term. Such reports should describe concisely the major achievements, problems, changes, and new directions of the ongoing project. In particular, the reports should reflect the extent to which Special Services functions are being absorbed into the regular academic program of the institution. The project should make a statement regarding its effectiveness.

5. Final Report

A final report shall be submitted by the Grantee within 30 days following the termination of the grant. The final report must show the grant number, the project name, the name of the sponsoring institution, the period the report covers, and the date of submission. Three copies of the final report must be submitted to the Program Officer and two copies must be retained locally by the project sponsor.

Y. Dual Compensation

If a project staff member, lecturer, or consultant is involved simultaneously in two or more projects supported by Federal funds, he may not be compensated for more than "100 percent time" from Federal funds for any part of the period of dual involvement.

Z. Nondiscrimination

The Grantee must comply with the provisions of the Civil Rights Act of 1964. The Grantee must assure that:

1. Every phase and unit of the project shall be open to all eligible students without regard to race, color, creed, or national origin. Students and staff, both professional and nonprofessional, must be selected, and assigned to classes, duties, and living accomodations without regard to race, color, creed, or national origin. There shall be no selection, assignment, or reassignment of students or staff on any basis or in any manner which results in segregation or discrimination.

2. The areas or groups to be served by the project shall not be selected in such manner as to produce segregation or discrimination.

3. There shall be no discrimination or segregation within the project, its classes, activities, or living accommodations, once students and staff have been selected and assigned. To the extent that living accommodations are not provided on a campus, the location of such living accommodations shall be selected so as to provide a mixture of eligible students.

4. All publicity must be designed to reach all eligible groups with equal effectiveness and must make clear that the programs will be operated on a completely nondiscriminatory and unsegregated basis.

APPENDIX I

DEPARTMENT OF HEALTH, EDUCATION AND WELFARE
OFFICE OF EDUCATION
DIRECTORS, HIGHER EDUCATION
REGIONS I–IX

REGION I –Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

Dr. Eino A. Johnson
Director, Higher Education
Office of Education, HEW
John Fitzgerald Kennedy Federal Building
Boston, Massachusetts 02203
AC 617–223–6895

REGION II –Delaware, New Jersey, New York, Pennsylvania

Dr. Charles P. Dennison
Director, Higher Education
Office of Education, HEW
26 Federal Plaza
New York, New York 10007
AC 212–264–4022

REGION III–District of Columbia, Kentucky, Maryland, North Carolina, Puerto Rico, Virgin Islands, Virginia, West Virginia

Dr. Howard Bryant
Director, Higher Education
Office of Education, HEW
220 Seventh Street, NE
Charlottesville, Virginia 22901
AC 703–296–5171, Ext. 314

REGION IV–Alabama, Florida, Georgia, Mississippi, South Carolina, Tennessee

Dr. Albert W. Boldt
Director, Higher Education
Office of Education, HEW
50 Seventh Street, NE
Atlanta, Georgia 30323
AC 404–526–5971

REGION V –Illinois, Indiana, Michigan, Ohio, Wisconsin

Dr. Peter S. Mousolite
Director, Higher Education
Office of Education, HEW
226 West Jackson Boulevard
Chicago, Illinois 60606
AC 312–353–5216

REGION VI —Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, South Dakota

Dr. Thompson G. Sexton
Director, Higher Education
Office of Education, HEW
601 East 12th Street
Kansas City, Missouri 64106
AC816—374—3136

REGION VII —Arkansas, Louisiana, New Mexico, Oklahoma, Texas

Dr. Carroll V. Galbreath
Director, Higher Education
Office of Education, HEW
1114 Commerce Street
Dallas, Texas 75202
AC 214—749—3811

REGION VIII—Colorado, Idaho, Montana, Utah, Wyoming

Dr. Merle F. Ogle
Director, Higher Education
Room 9017, Federal Building
19th and Stout Streets
Denver, Colorado 80202
AC 303—297—3733

REGION IX —Alaska, American Samoa, Arizona, California, Guam, Hawaii, Nevada, Oregon, Washington

Dr. Howard M. Kreitzer
Director, Higher Education
Office of Education, HEW
760 Market Street
San Francisco, California 94102
AC 415—556—8724

APPENDIX II

Budget Bureau No. 51-R-0830
Approval Expires: 6 • 30 • 71

Title Page of Proposal

A PROPOSAL SUBMITTED TO THE ASSISTANT SECRETARY/COMMISSIONER OF EDUCATION
FOR SUPPORT THROUGH THE
SPECIAL SERVICES FOR DISADVANTAGED STUDENTS IN INSTITUTIONS OF HIGHER EDUCATION
(P.L. 89-329) TITLE IV-A, SECTION 408, AS AMENDED

TITLE

NAME OF PROPOSER (INSTITUTION, COMB. OF INSTS., OR AGENCY)	AREA CODE	TELEPHONE NO.	EXT.

ADDRESS (STREET)	(CITY)	(STATE)	ZIP CODE

NAME OF CHAIRMAN OF PROPOSAL COMMITTEE (PERSON WHO SHOULD BE CONTACTED ABOUT MATTERS RELATING TO THE PROPOSAL)	AREA CODE	TELEPHONE NO.	EXT.

ADDRESS (STREET)	(CITY)	(STATE)	ZIP CODE

PROPOSED DATES OF ACTIVITY FROM (MONTH, DAY, AND YEAR)	TO (MONTH, DAY, AND YEAR)	TOTAL FEDERAL FUNDS REQUESTED
		$

THIS SIGNATURE INDICATES THAT THE PROJECT, IF FUNDED WILL BE CARRIED OUT IN ACCORDANCE WITH:

(1) THE POLICIES AND PROCEDURES DEVELOPED IN THE SPECIAL SERVICES PROGRAM "APPLICATION INFORMATION AND PROGRAM MANUAL";

(2) THE ATTACHED PROPOSAL EXCEPT AS MODIFIED BY THE GRANTS OFFICER.

AUTHORIZING OFFICIAL (THE PERSON AUTHORIZED TO COMMIT INSTITUTIONAL RESOURCES) (SIGNATURE)	AREA CODE	TELEPHONE NO.	EXT.

ADDRESS (STREET)	(CITY)	(STATE)	ZIP CODE

NAME OF FISCAL OFFICER	AREA CODE	TELEPHONE NO.	EXT.

ADDRESS (STREET)	(CITY)	(STATE)	ZIP CODE

DATE OF TRANSMISSION

APPENDIX III

PROPOSAL INFORMATION LIST

(Must be completed)

NAME OF PROJECT _____

_____

_____

APPLICANT _____
Name

_____
Address

_____
City State Zip Code

_____
Telephone Number (Include Area Code)

_____
Congressional District

TOTAL FEDERAL REQUEST
UNDER SPECIAL SERVICES $_____

1. Category of Applicant (See Section I. D. for guidance)

   Check One

   _____ Institution of Higher Education
   (If so, indicate number of years in regular undergraduate or training program ____)

   _____ Combination of Institutions
   (If so, list names of institutions participating)

   _____ Agency for Combination of Institutions
   (If so, list names of institutions represented)

2. Total Number of Undergraduate Students to be Served by Project

	Male	*Female*
a. Full-time	____	_____
b. Part-time	____	_____

3. Information on Undergraduate Students

	Current Enrollment at Institution	*To Be Served By Project*
Low-income Students (See Table in Section I.C.1.)	_____	_____
Physically Handicapped Students	_____	_____

Minority Students (Itemized)	Current Enrollment at Institution	To be Served by Project
Indian-American	_____	_____
Mexican-American	_____	_____
Negro-American	_____	_____
Oriental	_____	_____
Puerto Rican	_____	_____
Other (Identify)	_____	_____
	_____	_____

4. Demographic Profile

Location of Proposing Institution

Check One

_____ Metropolitan area—population over 1 million
_____ City—population over 100,000-1,000,000
_____ City—population over 30,000-100,000
_____ City—population under 30,000
_____ Rural area

5. Statement of Services

(Write a short paragraph describing the services to be provided by the project.)

APPENDIX IV
BUDGET SUMMARY

Budget Bureau No. 51-R-0830
Approval Expires: 6 • 30 • 71

NAME OF PROPOSER	DATE OF ACTIVITY FROM (MONTH, DAY, & YR.)	TO (MONTH, DAY, & YR.)

	CATEGORY	SPECIAL SERVICES FEDERAL FUNDS REQUESTED	PROPOSER CONTRIBUTION	OTHER FEDERAL FUNDS REQUESTED	OTHER
A.	DIRECT COSTS				
	1 PERSONNEL (LIST EACH POSITION AS A LINE ITEM, USING ONE LINE FOR TOTAL EMPLOYEE BENEFITS)				
	2 SPACE RENTAL AND EQUIPMENT				
	A SPACE RENTAL				
	B EQUIPMENT				
	3 COMMUNICATIONS & UTILITIES				
	A TELEPHONE				
	B UTILITIES				
	4 TRAVEL				
	A STAFF TRAVEL				
	B CONSULTANT TRAVEL				
	C TRANSPORTATION OF STUDENTS				
	5 SERVICES (CONSULTANT FEES ARE IN THIS CATEG.)				
	TOTAL DIRECT COSTS				
B.	INDIRECT COSTS				
C.	TOTAL COSTS				